



JPA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : St. Goar et al. Art Unit : 3738
Serial No. : 10/635,776 Examiner : Thomas C. Barrett
Filed : August 5, 2003 Conf. No. : 1704
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Dear Sir:

Transmitted herewith are a Supplemental Information Disclosure Statement, Forms PTO-1449 (3 pages), cited non U.S. Patent references, a return postcard, a copy of the Information Disclosure Statement filed 29 September 2003, and a copy of the date-stamped return postcard filed on 29 September 2003 for filing in connection with the above-identified application. Because this Information Disclosure Statement is filed prior to receipt of a first office action on the merits in the above-referenced application, no fee is due. However, should it be determined that a fee for filing these papers is required, the Commissioner is authorized to charge Deposit Account No. 06-1050, as stated below:

- The Commissioner is hereby authorized to charge any fees that may be due in connection with this paper or with this application during its entire pendency to Deposit Account No. 06-1050.

Respectfully submitted,


Fred C. Hernandez
Reg. No. 41,832Date: March 20, 2007

PTO Customer No. 20985
Fish & Richardson P.C.
12390 El Camino Real
San Diego, California 92130
Telephone: (858) 678-5070
Facsimile: (202) 626-7796
.email: fherandez@fr.com

CERTIFICATE OF MAILING BY FIRST CLASS MAIL
I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

March 20, 2007

Date of Deposit

Signature

Eric Butler



Attorney's Docket No.: 17315-002001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : St. Goar et al. Art Unit : 3738
Serial No. : 10/635,776 Examiner : Thomas C. Barrett
Filed : August 5, 2003 Conf. No. : 1704
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

MAILSTOP AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT IN
ACCORDANCE WITH 37 C.F.R. §§1.97-1.98**

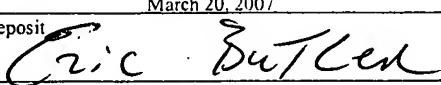
Dear Sir:

Because this Supplemental Information Disclosure Statement is filed before the receipt of a First Office Action on the Merits for the above-captioned application, a fee for filing this statement should not be due. If, however, it is determined that a fee is due, any fees that may be due in connection with filing this paper may be charged to Deposit Account No. 06-1050.

In accordance with the duty of disclosure imposed by 37 C.F.R. §1.56 to inform the Patent Office of all information known by Applicant or Applicant's representative that may be material to the examination of the subject application, Applicant's representative hereby provides this Supplemental Information Disclosure Statement that is prepared in accordance with 37 C.F.R. §§1.97-1.98. Form PTO-1449 (3 pages) and copies of the cited non-U.S. patent documents are provided herewith in connection with the above-captioned application.

In the Office Action mailed 9 March 9 2007 the Examiner states that the Information Disclosure Statement filed 29 September 2003 was incomplete and that only one out of five pages were considered. We provide herewith as evidence of the complete submission a copy of the PTO/SB/21 Transmittal form (1 page), Information Disclosure Statement (2 pages), PTO/SB/08A form (5 pages) and the return postcard date-stamped by the OIPE on 29

CERTIFICATE OF MAILING BY FIRST CLASS MAIL
I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

March 20, 2007
Date of Deposit

Signature
Eric Butler

September 2003. The references listed in the "missing" pages are provided herewith in the PTO-1449 form for your consideration.

The documents listed on the Form PTO-1449 are in the English language. Hence, in accordance with the requirements of 37 C.F.R. §1.98, as amended effective March 16, 1992, no further explanation of the listed item is necessary.

Applicant also makes known to the Examiner the following pending U.S. and International Applications that have one or more common inventors and/or are commonly owned:

<u>U.S.S.N.</u>	<u>Filing Date</u>	<u>Publication No.</u>	<u>Docket No.</u>
10/820,581	04/07/04	2005/0033446	17315-002002
10/927,263	08/25/04	n/a	20489-000160US
10/927,589	08/25/04	n/a	20489-000150US
11/349,742	02/07/06	2006/0229708	17315-004001
11/411,441	04/25/06	2007/0038293	17315-005001

<u>Intl. Ser. No.</u>	<u>Filing Date</u>	<u>Publication No.</u>	<u>Docket No.</u>
PCT/US06/004368	02/07/06	WO 06/086434	17315-004WO1
PCT/US06/015941	04/25/06	WO 06/116558	17315-005WO1

Although these documents are made known to the Patent and Trademark Office in compliance with Applicant's duty of disclosure, such disclosure is not to be construed as an admission by Applicant or Applicant's representative that any of the references or information, singly or in any combination thereof, is effective as prior art against the subject application. In accordance with 37 C.F.R. §1.97 (g and h), the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. §1.56 (b) exists.

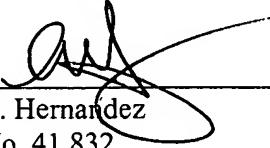
Applicant : St. Goar et al.
Serial No. : 10/635,776
Filed : August 5, 2003
Page : 3 of 3

Attorney's Docket No.: 17315-002001
Suppl. Information Disclosure Statement

Applicant respectfully requests that the Examiner review the foregoing references and make them of record in the file history of the above-captioned application.

Respectfully submitted,

Date: March 20, 2007



Fred C. Hernandez
Reg. No. 41,832

PTO Customer No. 20985
Fish & Richardson P.C.
12390 El Camino Real
San Diego, California 92130
Telephone: (858) 678-5070
Facsimile: (202) 626-7796
email: fherandez@fr.com

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
List of Patents and Publications for Applicant's Information Disclosure Statement		Applicant St. Goar et al.	Filing Date August 5, 2003
(37 CFR §1.98(b))		Group Art Unit 3738	



U.S. Patent Documents							
Examiner Initial	Design ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	2002/0087148	07/04/02	Brock et al.			
	AB	2002/0087169	07/04/02	Brock et al.			
	AC	2003/0120341	06/26/03	Shennib et al.			
	AD	2005/0149014	07/07/05	Hauck et al.			
	AE	2006/0020275	1/26/06	Goldfarb et al.			
	AF	2007/0038293	2/15/07	St. Goar et al.			
	AG	5,618,306	04/08/97	Roth et al.			
	AH	5,634,932	06/03/97	Schmidt			
	AI	5,640,955	06/24/97	Ockuly et al.			
	AJ	5,713,910	02/03/98	Gordon et al.			
	AK	5,716,367	02/10/98	Koike et al.			
	AL	5,718,725	02/17/98	Sterman et al.			
	AM	5,769,812	06/23/98	Stevens et al.			
	AN	5,797,927	08/25/98	Yoon			
	AO	5,797,960	08/25/98	Stevens et al.			
	AP	5,810,847	09/22/98	Laufer et al.			
	AQ	5,823,956	10/20/98	Roth et al.			
	AR	5,824,065	10/20/98	Gross			
	AS	5,827,237	10/27/88	Macoviak et al.			
	AT	5,829,447	11/03/98	Stevens et al.			
	AU	5,833,671	11/10/98	Macoviak et al.			
	AV	5,836,955	11/17/98	Buelna et al.			
	AW	5,840,081	11/24/98	Anderson et al.			
	AX	5,855,614	01/05/99	Stevens et al.			
	AY	5,879,307	03/09/99	Chio et al.			
	AZ	5,885,271	03/23/99	Hamilton et al.			
	BA	5,928,224	07/27/99	Laufer			

Examiner Signature	Date Considered
--------------------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 17315-002001	Application No. 10/635,776
List of Patents and Publications for Applicant's Information Disclosure Statement (37 CFR §1.98(b))		Applicant St. Goar et al.			
		Filing Date August 5, 2003	Group Art Unit 3738		

U.S. Patent Documents							
Examiner Initial	Design ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	BB	5,947,363	09/07/99	Bolduc et al.			
	BC	5,954,732	09/21/99	Hart et al.			
	BD	5,980,455	11/09/99	Daniel et al.			
	BE	5,989,284	11/23/99	Laufer			
	BF	6,019,722	02/01/00	Spence et al.			
	BG	6,117,144	09/12/00	Nobles et al.			
	BH	6,165,183	11/26/00	Kuehn et al.			
	BI	6,210,432	04/03/01	Solem et al.			
	BJ	6,269,819	08/07/01	Oz et al.			
	BK	6,306,133	10/23/01	Tu et al.			
	BL	6,312,447	11/06/01	Grimes			
	BM	6,355,030	03/12/02	Aldrich et al.			

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Design ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
							Yes No
	BN	06/116558	11/2/06	PCT			
	BO	06/086434	8/17/06	PCT			
	BP	81/00668	03/19/81	PCT			
	BQ	1598111	09/16/81	UK			
	BR	2151142	07/17/85	UK			

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Design ID	Document
	BS	Abe, T., et al., "De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients," Annals of Thoracic Surgery, 48:670-676, (1989).
	BT	Abe, T., et al., "Updated: De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients," Annals of Thoracic Surgery, 62:1876-1877, (1996).
	BU	Alvarez, J.M., et al., "Repairing the degenerative mitral valve: ten-to-fifteen-year follow-up," Journal of Thoracic and Cardiovascular Surgery, 112:238-247, (1996).

Examiner Signature	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
List of Patents and Publications for Applicant's Information Disclosure Statement (37 CFR §1.98(b))		Applicant St. Goar et al.	
		Filing Date August 5, 2003	Group Art Unit 3738

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	BV	Bach, D.S. and S.F. Bolling, "Early improvement in congestive heart failure after correction of secondary mitral regurgitation in end-stage cardiomyopathy," American Heart Journal, 129:1165-1170, (1995).
	BW	Bach, D.S. and S.F. Bolling, "Improvement following correction of secondary mitral regurgitation in end-stage cardiomyopathy with mitral annuloplasty," American Journal of Cardiology, 78:966-969, (1996).
	BX	Bailey, C.P., et al., <i>Surgery of the Heart</i> , Lea & Febiger, Philadelphia, P.A., 686-737, (1955).
	BY	Bolling, S.F., et al., "Surgery for acquired heart disease," Journal of Thoracic and Cardiovascular Surgery, 109(4):676-683, (1995).
	BZ	Dec, G.W. and V.F. Fuster, et al., "Idiopathic dilated cardiomyopathy," New England Journal of Medicine, 331:1564-1575, (1994).
	CA	Fucci, C., et al., "Improved results with mitral valve repair using new surgical techniques," European Journal of Cardiothoracic Surgery, 9:621-627 (Medline enclosed herewith), (1995).
	CB	Kameda, Y., et al., "Annuloplasty for severe mitral regurgitation due to dilated cardiomyopathy," Annals of Thoracic Surgery, 61:1829-1832, (1996).
	CC	Khan, M.A., et al., "Blade atrial septostomy: experience with the first 50 procedures," Catheterization and Cardiovascular Diagnosis, 23:257-262, (1991).
	CD	Maisano, F., et al., "The edge-to-edge technique: a simplified method to correct mitral insufficiency," European Journal of Cardio-thoracic Surgery, 13:240-246, (1998).
	CE	McCarthy, J.F. and D.M. Cosgrove, "Tricuspid valve repair with the Cosgrove-Edwards annuloplasty system," Annals of Thoracic Surgery, 64(1):267-268, (1997).
	CF	Park, S.C., et al., "Clinical use of a blade atrial septostomy," Circulation, 58:600-608, (1978).
	CG	Reul, R.M. and L. H. Cohn II, "Mitral valve reconstruction for mitral insufficiency," Progress in Cardiovascular Diseases, 39(6):567-599, (1997).
	CH	Ricchi, A., et al., "Linear segmental annuloplasty for mitral valve repair," Annals of Thoracic Surgery, 63:1805-1806, (1997).
	CI	Tager, R., et al., "Long-term follow-up of Rheumatic patients undergoing left-sided valve replacement with tricuspid annuloplasty-Validity of preoperative echocardiographic criteria in the decision to perform tricuspid annuloplasty," American Journal of Cardiology, 81:1013-1016, (1998).
	CJ	Uchida, Y., et al., "Percutaneous cardiomyotomy and valvulotomy with guidance," American Heart Journal, 121:1221-1224, (1991).
	CK	Umana, J., et al., "Bow-tie mitral valve repair successfully addresses subvalvular dysfunction in ischemic mitral regurgitation," Surgical Forum, 279-280, (1997).
	CL	Umana, J.P., et al., "Bow-tie' mitral valve repair: an adjuvant technique for ischemic regurgitation," Annals of Thoracic Surgery, 66:1640-1646, (1998).

Examiner Signature	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

10/635,776

Filing Date

August 5, 2003

First Named Inventor

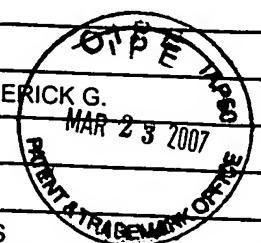
ST. GOAR, FREDERICK G.

Art Unit

Unassigned

Examiner Name

Unassigned



Attorney Docket Number

020489-000140US

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Return Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s)	PTO/SB/08A and /08B Form
<input type="checkbox"/> Certified Copy of Priority Document(s)		0 Reference Copies
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

Remarks The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

COPY

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Townsend and Townsend and Crew LLP Lynn M. Thompson	Reg. No. 47,991
Signature		
Date	9/25/03	

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Edward Masinas
Signature	
	Date 9-26-03

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT
Attorney Docket No.: 020489-000140US

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

On

9-26-03



TOWNSEND and TOWNSEND and CREW LLP

By:

Edward Masinas

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

St. Goar et al.

Application No.: 10/635,776

Filed: August 5, 2003

For: METHODS AND APPARATUS
FOR CARDIAC VALVE REPAIR

Examiner: Unassigned

Art Unit: Unassigned

**INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references can be found in Application No. 09/544,930, filed April 7, 2000 (Attorney Docket No. 020489-000110US). It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Lynn M. Thompson
Reg. No. 47,991

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: 650-326-2400
Fax: 650-326-2422
LMT:bjl
60045830 v1

PTO/SB/08 (Rev. 01-07)

100-00000000

MAR 23 2007
U.S. PATENT AND TRADEMARK OFFICE

Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Application Number	10/635,776	
			Filing Date	August 5, 2003	
			First Named Inventor	ST. GOAR, FREDERICK G.	
			Art Unit	Unassigned	
			Examiner Name	Unassigned	
Sheet	1	of	5	Attorney Docket Number	
020489-000140US					

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
AA	US-2,108,206		02/1938	Meeker	
AB	US-3,378,010		04/1969	Codling et al.	
AC	US-3,671,979		06/1972	Moulopoulos	
AD	US-3,874,338		04/1975	King et al.	
AE	US-4,056,854		11/1977	Boretos et al.	
AF	US-4,297,749		11/1981	Davis et al.	
AG	US-4,484,579		11/1984	Meno et al.	
AH	US-4,641,366 B1		10/2002	Seguin	
AI	US-4,809,695		03/1989	Gwathmey et al.	
AJ	US-4,917,089		04/1990	Sideris	
AK	US-4,994,077		02/1991	Dobben	
AL	US-5,042,707		08/1991	Taheri	
AM	US-5,049,153		09/1991	Nakao et al.	
AN	US-5,069,679		12/1991	Taheri	
AO	US-5,171,252		12/1992	Friedland	
AP	US-5,209,756		05/1993	Seedhom et al.	
AQ	US-5,226,429		07/1993	Kuzmak	
AR	US-5,254,130		10/1993	Poncet et al.	
AS	US-5,332,402		07/1994	Teitelbaum	
AT	US-5,383,886		01/1995	Kensey et al.	
AU	US-5,403,326		04/1995	Harrison et al.	
AV	US-5,411,552		05/1995	Anderson et al.	
AW	US-5,417,700		05/1995	Egan	
AX	US-5,423,858		06/1995	Bolanos et al.	
AY	US-5,423,882		06/1995	Jackman et al.	
AZ	US-5,450,860		09/1995	O'Connor	
BA	US-5,478,309		12/1995	Sweezer et al.	
BB	US-5,478,353		12/1995	Yoon	
BC	US-5,520,701		05/1996	Lerch	
BD	US-5,522,873		06/1996	Jackman et al.	
BE	US-5,536,251		07/1996	Evard et al.	
BF	US-5,542,949		08/1996	Yoon	
BG	US-5,554,185		09/1996	Block et al.	
BH	US-5,571,137		11/1996	Marlow et al.	
BI	US-5,571,215		11/1996	Sterman et al.	
BJ	US-5,618,306		04/1997	Roth et al.	
BK	US-5,634,932		06/1997	Schmidt	
BL	US-5,640,955		06/1997	Ockuly et al.	
BM	US-5,713,910		02/1998	Gordon et al.	
BN	US-5,716,367		02/1998	Koike et al.	
BO	US-5,718,725		02/1998	Sterman et al.	

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached. 60045830 v1

Substitute for form 1449A/PTO			<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Application Number	10/635,776
			Filing Date	August 5, 2003
			First Named Inventor	ST. GOAR, FREDERICK G.
			Art Unit	Unassigned
			Examiner Name	Unassigned
Sheet	2	of	5	Attorney Docket Number
			020489-000140US	

U.S. PATENT DOCUMENTS+				
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	BP	US-5,769,812	06/1998	Stevens et al.
	BQ	US-5,797,927	08/1998	Yoon
	BR	US-5,797,960	08/1998	Stevens et al.
	BS	US-5,810,847	9/1998	Laufer et al.
	BT	US-5,823,956		Roth et al.
	BU	US-5,824,065	10/1998	Gross
	BV	US-5,827,237	10/1998	Macoviak et al.
	BW	US-5,829,447	11/1998	Stevens et al.
	BX	US-5,833,671	11/1998	Macoviak et al.
	BY	US-5,836,955	11/1998	Buelna et al.
	BZ	US-5,840,081	11/1998	Anderson et al.
	CA	US-5,855,614	01/1999	Stevens et al.
	CB	US-5,879,307	03/1999	Chio et al.
	CC	US-5,885,271	03/1999	Hamilton et al.
	CD	US-5,928,224	07/1999	Laufer
	CE	US-5,947,363	09/1999	Bolduc et al.
	CF	US-5,954,732	09/1999	Hart et al.
	CG	US-5,980,455	11/1999	Daniel et al.
	CH	US-5,989,284	11/1999	Laufer
	CI	US-6,019,722	02/2000	Spence et al.
	CJ	US-6,117,144	09/2000	Nobles et al.
	CK	US-6,165,183	12/2000	Kuehn et al.
	CL	US-6,210,432	04/2001	Solem et al.
	CM	US-6,269,819	08/2001	Oz et al.
	CN	US-6,306,133	10/2001	Tu et al.
	CO	US-6,312,447	11/2001	Grimes
	CP	US-6,355,030	03/2002	Aldrich et al.
	CQ	US-2002/0087169	07/2002	Brock et al.
	CR	US-2002/0087148	07/2002	Brock et al.

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)			
	CS	PCT	WO 81/00668	03/1981		<input type="checkbox"/>
	CT	GB	1598111	09/1981		
	CU	United Kingdom	GB 2151142	07/1985		
	CV	Germany	DE 3504292	07/1986		
	CW	EP	0179562	07/1989		

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Standard ST.3. ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent place a check mark here if English language Translation is attached. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁵ Applicant is to 60045830 v1

Substitute for form 1449A/PTO				<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					
(use as many sheets as necessary)					
Sheet	3	of	5		
Application Number	10/635,776				
Filing Date	August 5, 2003				
First Named Inventor	ST. GOAR, FREDERICK G.				
Art Unit	Unassigned				
Examiner Name	Unassigned				
Attorney Docket Number	020489-000140US				

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (# known)			
CX	PCT	WO 91/01689		02/1991			
CY	PCT	WO 92/12690		08/1992			<input type="checkbox"/>
CZ	Europe	EP 0558031		09/1993			
DA	PCT	WO 94/18893		09/1994			
DB	PCT	WO 94/18881		09/1994			<input type="checkbox"/>
DC	EP	0684012		02/1995			
DD	PCT	WO 97/39688		10/1997			
DE	PCT	WO 09/07375		02/1998			
DF	PCT	WO 98/30153		07/1998			
DG	PCT	WO 98/35638		08/1998			
DH	PCT	WO 99/01377		01/1999			<input type="checkbox"/>
DI	PCT	WO 99/00059		01/1999			<input type="checkbox"/>
DJ	PCT	WO 99/07354		02/1999			<input type="checkbox"/>
DK	JP	11089937		06/1999			<input type="checkbox"/>
DL	PCT	WO 00/03759		01/2000			
DM	PCT	WO 01/28432		04/2001			<input type="checkbox"/>
DN	PCT	WO 01/26557		04/2001			

Examiner Signature		Date Considered
--------------------	--	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST-3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST-16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO				Complete if Known	
				<i>Application Number</i>	10/635,776
				<i>Filing Date</i>	August 5, 2003
				<i>First Named Inventor</i>	ST. GOAR, FREDERICK G.
				<i>Art Unit</i>	Unassigned
				<i>Examiner Name</i>	Unassigned
Sheet	4	of	5	<i>Attorney Docket Number</i>	020489-000140US

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			
	DO	Abe et al., "De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1989) 48:670-676.			T ²
	DP	Abe et al., "Updated: De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1996) 62:1876-1877.			
	DQ	Alvarez et al., "Repairing the degenerative mitral valve: Ten-to fifteen-year follow-up" J. Thorac. Cardiovasc. Surg. (1996) 112:238-247.			
	DR	Bach et al., "Improvement following correction of secondary mitral regurgitation in end-stage cardiomyopathy with mitral annuloplasty" Am. J. Cardiol. (1996) 78:966-969.			
	DS	Bach et al., "Early improvement in congestive heart failure after correction of secondary mitral regurgitation in end-stage cardiomyopathy" Am. Heart J. (1995) 129:1165-1170.			
	DT	Bailey, "Surgery of the Heart" Chapter 20 (1995) pp. 686-737.			
	DU	Bolling et al., "Surgery for acquired heart disease" (1995) 109:676-683.			
	DV	Dec et al., "Idiopathic dilated cardiomyopathy" N. Engl. J. Med. (1994) 331:1564-1575.			
	DW	Fucci et al., "Improved results with mitral valve repair using new surgical techniques" Eur. J. Cardiothorac. Surg. (1995) 9:621-627 (Medline Record enclosed herewith).			
	DX	Kameda et al., "Annuloplasty for severe mitral regurgitation due to dilated cardiomyopathy" Am. Thorac. Surg. (1996) 61:1829-1832.			
	DY	Khan et al., "Blade atrial septostomy: Experience with the first 50 procedures" Cathet. Cardiovasc. Diagn. (1991) 23: 257-262.			
	DZ	Maisano et al., "The edge-to-edge technique: A simplified method to correct mitral insufficiency" Eur. J. Cardiothorac. Surg. (1998) 13:240-246.			
	EA	McCarthy et al., "Tricuspid valve repair with the Cosgrove-Edwards annuloplasty system" Am. Thorac. Surg. (1997) 64: 267-268.			
	EB	Park et al., "Clinical use of a blade atrial septostomy" Circulation (1978) 58:600-608.			
	EC	Reul, Ross M. and Cohn, Lawrence II, Mitral Valve Reconstruction for Mitral Insufficiency, Progress in Cardiovascular Diseases, No. 6, May/June, 1997, pp. 567-599, Vol. XXXIX.			
	ED	Ricchi et al., "Linear segmental annuloplasty for mitral valve repair" Ann. Thorac. Surg. (1997) 63:1805-1806.			

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

²Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				<i>Application Number</i>	10/635,776
				<i>Filing Date</i>	August 5, 2003
				<i>First Named Inventor</i>	ST. GOAR, FREDERICK G.
				<i>Art Unit</i>	Unassigned
				<i>Examiner Name</i>	Unassigned
Sheet	5	of	5	<i>Attorney Docket Number</i>	020489-000140US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
	EE	Tager et al., "Long-term follow-up of Rheumatic patients undergoing left-sided valve replacement with tricuspid annuloplasty - Validity of preoperative echocardiographic criteria in the decision to perform tricuspid annuloplasty" Am. J. Cardiol. (1998) 81:1013-1016.		T ²
	EF	Uchida et al., "Percutaneous cardiomyotomy and valvulotomy with angioscopic guidance" Am. Heart J. (1991) 121:1221-1224.		
	EG	Umana et al., "'Bow-tie' mitral valve repair: An adjuvant technique for ischemic mitral regurgitation" Ann. Thorac. Surg. (1998) 66:1640-1646.		
	EH	Umana et al., "'Bow-tie' mitral valve repair successfully addresses subvalvular dysfunction in ischemic mitral regurgitation," (1997) Surgical Forum pp. 279-280.		

60045830 v1

Examiner Signature	Date Considered
--------------------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

60045830 v1

TO THE U.S. PATENT AND TRADEMARK OFFICE
Please stamp the date of receipt of the following document(s) and return
this card to us:

RE: ST. GOAR

~~TITLE OF DOCUMENT(S)~~

TO THE U.S. PATENT AND TRADEMARK OFFICE
Please stamp the date of receipt of the following document(s) and return
this card to us:

RE: ST. GOAR

~~TITLE OF DOCUMENT(S):~~

Transmittal Form

Information Disclosure Statement

Fee Authorization (see Page 2)

PTO/SB/08A & PTO/SB/08B

Application No 10/635, 776

File No 020489-000140US

Date due

Date Mailed 09/26/03

Atty/Secty. LMT/ewm
60048195 v1

